

MONTH END ACTIVITY REPORT

Bureau of Securities June 2010

Securities Registrations			
Filing/Security Type	Paper	Electronic	Total
Additional	131	396	527
Oversales	2	1	3
Renewal Filings	460	1,342	1802
New Notice Filings	184	125	309
Common Stock	1	0	1
Limited Partnerships	6	0	6
Preferred Stock	0	0	0
REIT	0	0	0
Debt	0	0	0
Qualification	0	0	0
Other	0	0	0
Denials	0	0	0
Sales of Unregistered Securities	0	0	0
Withdrawals	2	0	2

Broker-Dealers and Broker-Dealer Agents			
Broker-Dealers			
Activity	FINRA	Non-FINRA	Total
New	7	0	7
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	4	0	4
Gain/Loss Broker-Dealers	3	0	3
Total BD's Registered as of June 30, 2010	1397	28	1425
Broker-Dealer Agents			
Activity	FINRA	Non-FINRA	Total
New (Includes Automatic, Manual, Temp. Queues)	2667	0	2667
Denied	0	0	0
Terminations	1147	0	1147
Gain/Loss Agents	1520	0	1520
Total BD Agents Registered as of June 30, 2010	74917	53	74970

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Investment Advisers and Representatives			
Investment Advisers			
Activity	State	Federal	Total
New	2	9	11
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	1	2	3
Denied	0	0	0
Gain/Loss effective registrations	1	7	8
Total IA's Registered as of June 30, 2010	71	1044	1115
Investment Adviser Representatives			
Activity	State	Federal	Total
New	2	84	86
Denied	0	0	0
Terminated	41	60	101
Gain/Loss effective registrations	-39	24	-15
Total IAR's Registered as of June 30, 2010	135	3138	3273

Exemptions			
Exemption Type	Number		
8-1108.02(2)	23		
8-1108.02(3)	0		
8-1111(16)	0		
8-1110(5)(b)	0		
8-1111(20)	0		
8-1110(8)	0		
8-1111(9)	7		
8-1111(11)(a)	0		
8-1111(11)(b)	0		
8-1111(14)	0		
8-1111(15)	0		
8-1111(17)	0		
Total Exemptions as of June 30, 2010	30		